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REGULATION

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RECORDS MANAGEMENT

Revision: CIA Regulation

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1. GENERAL

a. This regulation prescribes general policies (and methods) for the economical and efficient management of Agency records based on, and in agreement with, the Federal Records Act of 1950 (Public Law 754), other applicable Federal Statutes and regulations and existing Agency policies.

b. The scope of records management precludes inclusion of detailed policies, standards and procedures in a single issuance. Hence, supplemental issuances pertinent to each major functional area of the program are provided as cited in paragraph 7 of this regulation.

2. OBJECTIVE AND SCOPE

"More efficient operations at less cost" is the basic objective of the CIA Records Management Program. Attainment of this objective with resultant economies in manpower, supplies, equipment, space, time and money can best be realized by (vigorous, aggressive) agency-wide application of the following major program aspects as described in the "Records Management Program Guide," HB

a. Records Creation

- (1) Forms Engineering and Management
- (2) Reports Management
- (3) Correspondence Management

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b. Organization, Maintenance and Use of Records

- (1) Mail Control
- (2) Reference Service
- (3) Maintenance Management
- (4) Equipment and Supplies Standards

c. Disposition of Records

- (1) Records Control Schedules
- (2) Records Disposition Schedules

d. Vital Materials Program

3. POLICIES

Adherence to the following policies are essential to the conduct of an effective Records Management Program:

a. Adequate controls over the creation of records shall be instituted and maintained to ensure that important policies and decisions are adequately documented by the most efficient and economical means and that the creation of unnecessary records are prevented. The control, engineering and management of forms, reports and correspondence and the immediate destruction of transitory material no longer of record value are essential program elements.

b. To ensure the efficient and economical maintenance of records to obtain maximum usefulness, provision shall be made for the continuing analysis and improvement of mail handling and routing, record classification and indexing, utilization of filing equipment and supplies and the reproduction, transportation, storage and issuance of records.

c. Preservation of records of continuing value is vital to the proper functioning of the Agency. (Such records cannot be economically stored in office-type files or space.) A Records Center shall therefore be established and maintained for the storage, processing and servicing of Agency records, including Top Secret material. All non-current records shall be promptly transferred to the Agency Records Center, microfilmed, or destroyed. Records control schedules shall be developed and maintained for these purposes.

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d. No record shall be alienated or destroyed unless it be done in accordance with provisions of the Records Disposal Act. All personnel are warned that willful and unlawful destruction, damage or alienation of any Federal record may result in invocation of the following severe penalties ordered by Sections 234 and 235, Title 18, U S Code:

"234. Destroying public records. Whoever shall willfully and unlawfully conceal, remove, mutilate, obliterate or destroy, or attempt to conceal, remove, mutilate, obliterate, or destroy, or with intent to conceal, remove, mutilate, obliterate, destroy, or steal, shall take and carry away any record, proceeding, map, book, paper, document, or other thing, filed or deposited with any clerk or officer of any court of the United States, or in any public office, or with any judicial or public officer of the United States, shall be fined not more than \$2,000, or imprisoned not more than three years, or both."

"235. Destroying records by officer in charge. Whoever, having the custody of any record, proceeding, map, book, document, paper, or other thing specified in section 234 of this title, shall willfully and unlawfully conceal, remove, mutilate, obliterate, falsify, or destroy any such record, proceeding, map, book, document, paper, or thing, shall be fined not more than \$2,000, or imprisoned not more than three years, or both; and shall moreover forfeit his office and be forever afterward disqualified from holding any office under the Government of the United States."

e. Vital materials shall be identified and removed to a repository for safe keeping.

#### L. DEFINITIONS

a. "Records include all books, papers, maps, photographs, or other documentary material, regardless of physical form or characteristic, made or received by an agency of the United States Government in pursuance of Federal law in connection with transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities, or because of the informational value of data contained therein." (57 stat. 380, as amended; 44 USC 366)

b. "Non-record Material includes library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience

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of reference, and stocks of publications or processed documents." (57 stat. 380, as amended; 44 USC 366)

c. Semi-active Records are those records which are referred to infrequently by the activity that accumulated them but which must be retained permanently or for a specified period before their disposition is authorized.

d. Inactive Records are those records never or rarely referred to by the activity that accumulated them but which must be retained permanently or for a specified period before their disposition is authorized.

e. Retired Records are those records that must be preserved for varying periods of time and need not be retained in the office equipment and space. They may be semi-active and inactive records.

f. Forms are the devices by which management seeks uniformity and simplicity in the recording, transmitting, reporting and data processing of vital information. They are preprinted, containing predetermined spaces for inserting specific information. Items such as certificates, labels, stickers, tags, placards, posters, cover sheets and form letters are included in this definition.

g. Reports are accounts or statements of information prepared in written narrative, tabular, punch card or graphic media and transmitted by one organizational element to another in conformance with an established requirement. An administrative or management report as distinguished from an operational report provides for administrative or management control over an activity or operation.

h. Correspondence includes all memoranda, letters, and dispatches (excluding operational reports) sent or received by Agency personnel in the execution of official duties.

i. Vital Materials are those specific items in possession of the Agency which are essential to its continuance and which if destroyed would constitute a serious or irreplaceable loss.

j. An Area Program is one covering a Major Component ((Deputy Directors (Administration), (Intelligence), and (Plans), the Director of Training and the Assistant Directors for (Communications) and (Personnel)) or an Operating Office (Office, Division or Staff subordinate to a Major Component)).

## 5. RESPONSIBILITIES

a. Decentralized Concept. Management of Central Intelligence Agency records will be accomplished on a decentralized basis. Under

this plan the Chief of the Management Staff will be responsible for conducting the management policy and program planning functions of the Agency-wide program while Chiefs of Major Components and Chiefs of Operating Offices will be responsible for local application of the program within their sphere of authority.

b. Management Staff. Responsibility for the management policy and program planning functions of the Agency-wide Records Management Program is vested in the Chief, Management Staff. This includes --

- (1) Staff planning, direction and coordination of a continuing Agency-wide records management program embracing all aspects of Records Creation, Records Maintenance and Records Disposition including the Vital Materials Program; its extension to and installation by all components of the Agency.
- (2) Development, formulation and issuance of all basic plans, policies and procedures governing the conduct of the program together with the development, establishment and definition of professional standards, methods and techniques of records management.
- (3) Representation of the Agency in the maintenance of liaison and the coordination of pertinent aspects of records management plans, policies, procedures, program standards and techniques with all affected or interested Agency components, or other Government agencies, departments, establishments, or activities, civilian concerns, and institutions.
- (4) Development, preparation and dissemination of directives, instructional and training media and provision for (either separately or in collaboration with the Director of Training) facilities for the guidance, indoctrination, and technical training of program participants.
- (5) Development and installation of systems for measuring, collecting and reporting savings accruing from the program.

c. Major Components. Responsibility for local application of the CIA Records Management Program is delegated to Chiefs of Major Components who will --

- (1) Develop, install, direct, conduct and maintain a continuing records management program within their component.
- (2) Extend this program to all operating offices within their sphere of authority in accordance with the basic concept, policies, methods, techniques and procedures prescribed by

the Chief, Management Staff.

d. Mutual Responsibility. The entire burden of this program cannot be carried by either the Management Staff or the area alone. The Agency has long stressed the value of teamwork and cooperation. The cooperation and active participation in the program by all operating components are essential to a comprehensive and effective program. In addition to the spirit of teamwork and mutual cooperation between the Management Staff and all major components and operating offices the ultimate success of the program will in a large measure depend upon the cooperation given to and received from the rank and file of Agency personnel. Successful results can only be achieved through a mutual appreciation of all concerned of both the "customer's" record problem and the objective of the program.

6. METHOD OF ESTABLISHMENT

a. Establish the Program. If not already accomplished, a records management program will be established by each major component, which will disseminate to all operating offices instructions concerning establishment of the program and procedures to be employed in its operation. This program may be decentralized to operating offices, if desired.

b. Establish an Area Records Management Office. At the time of establishment of the program, an Area Records Management Office will also be established.

c. Appoint an Area Records Manager. Upon establishment of the Area Records Management Office or as soon thereafter as practicable, if not already done, an Area Records Manager, GS-11 or above, will be designated by the Chief of the Major Component or operating office to direct the conduct of the program.

d. Manning the Office. The ultimate strength of the office and the grades and qualifications of personnel required to man it necessarily must depend upon area program requirements such as the size and scope of the program, the mission of the major component or operating office and so forth. Offices may thus be manned by one or more individuals on either a part-time or full-time basis.

e. Decentralization to Operating Offices. Establishment of area records management offices and designation of area records managers by operating offices may be authorized at the discretion of the Chiefs of Major Components.

f. Appointment of Area Records Management Committees. If Chiefs of Major Components or Operating Offices consider such action desirable

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they may establish Records Management Committees to assist the Area Records Manager (who should be a member of the committee and may serve as chairman) in any or all phases of Records Management. These committees should consist of qualified representatives of the principle organizational segments of the Area who are conversant with the forms, correspondence, reports, and systems of their organizations.

7. SUPPLEMENTAL ISSUANCES

The following issuances now supplement this regulation. Subsequent additional items will be developed and issued on all phases of the Records Management Program.

a. Regulations

- (1) [ ] Forms Control and Standardization.
- (2) [ ] - Requesting Forms

b. Notices

- [ ] - Handling Classified Forms

c. Handbooks

- (1) [ ] Records Management Program Guide
- (2) [ ] Correspondence Handbook
- (3) [ ] Handbook for the Subject Classification and Filing of Correspondence Records